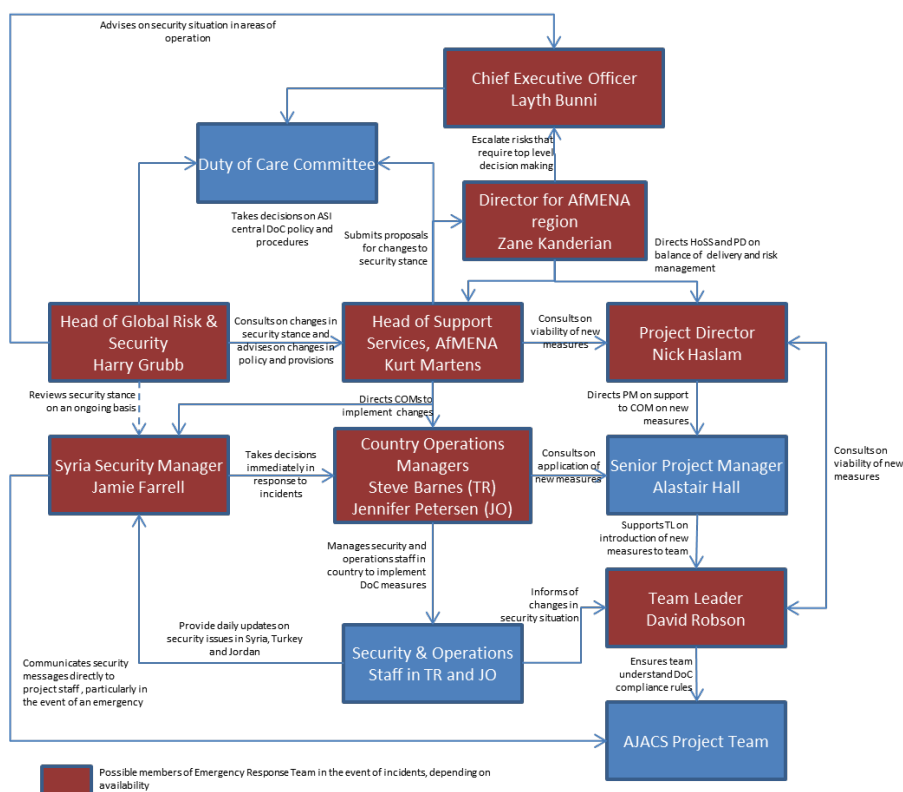# 2.4 Duty of Care

Adam Smith International has been managing deployments to fragile and conflict affected countries for over 17 years. During this period we have developed a duty-of-care capability that is able to respond to the particularities of the FCAS environments in which we operate while maintaining a consistent approach to risk management that is defined by policies set at the centre. We have dedicated staff stationed in country to develop, deliver and decide on policies and procedures on an ongoing basis. In the Afghanistan, Middle East and North Africa (AfMENA) region, these staff are organised into a Regional Operations Management team overseen by a Head of Support Services, Kurt Martens, who has been working with us for eight years and who oversees all security, HR, finance and logistics issues that underpin our current portfolio of 14 projects and 432 staff and associates across 7 countries.

The following diagram sets out how this Regional Operations Management team is structured to exercise duty of care for the AJACS project team working in Syria, Turkey and Jordan:

Adam Smith International's Chief Executive Officer, Layth Bunni, assumes overall responsibility for duty of care and risk management in relation to the all Adam Smith International staff and contractors. Direct responsibility for operational and programmatic risk on the project lies with the Regional Director, Zane Kanderian. Zane delegates responsibility for operational risks to Head of Support Services, Kurt Martens, and for programmatic risks to the Project Director, Nick Haslam. Day-to-day responsibility for operational risks rests with the Country Operations Managers, Steve Barnes and Jennifer Petersen, who receive security advice from the Syria Security Manager, Jamie Farrell, and review security measures with the Head of Global Risk and Security, Harry Grubb. Tracking of security issues in Syria, Turkey and Jordan is done by Adam Smith International's security and operations team in Turkey and Jordan. The Project Director, Project Manager (Alastair Hall) and Team Leader (David Robson) all liaise with the Country Operations Manager to ensure security stances are appropriate and feasible. The Duty of Care Committee is tasked with overseeing risk management and mitigation across all countries that ASI operates in. It ensures that all countries have up-to-date emergency response plans (ERPs) and are maintaining appropriate levels of risk management. The Head of Support Services conducts a full security review prior to commencing any new projects to ensure new projects are sufficiently resourced to deal with operating threats and risks as they arise. Below we set out our current and planned arrangements for monitoring risks, responding to emergencies and mitigating risks on an ongoing basis for the new contract period on AJACS.

Systems in place to monitor staff risk

Turkey and Jordan

With regards to the risks facing staff working in Gaziantep, Istanbul and Amman, the Country Operations Managers, Head of Support Services and Syria Security Manager are on call 24/7 to tackle any issues that may arise. Tracking the local, and wider regional, security situations the team draws upon an extensive local, national, regional and global information network to identify threats and manage risk. They analyse and consolidate this information into advice that is pertinent to our projects and staff – tailoring our risk management exactly to our needs and enabling us to keep ahead of threats and risks as they develop. In response to the events of recent weeks this has extended to a close watching brief on the political situation in Turkey and the increased risk to staff resulting from instability within Turkey.

The regional operations team constantly track, record and analyse security-related threats and incidents to assess any potential or actual impact to ASI personnel, assets, or ability to continue programmatic delivery. The analyses of these

incidents are collated on a quarterly basis (or more frequently if the situation warrants) and applied to a formal Security Risk Analysis document, which determines the threat and risk level in each location and forecasts the probability and impact of the salient risks facing the programme for the following review period. By doing so, we are able to proactively identify potential issues, act to mitigate them and thereby create an environment within which project personnel are safe and best able to deliver. As part of this package of mitigating measures, each country operations team keeps an "out of bounds" list which advises staff of areas deemed unsafe to visit due to security threats/warnings; this list is updated and disseminated weekly, along with an up to date contact list for all members of the project team.

Through the Operations & Security Team members, ASI is part of an information-sharing network with both national and international organisations working in Turkey, Syria and Jordan and is well placed to receive timely notification of information that might not be readily available from open sources, but which may have an effect on safety and security. A constant challenge associated with receiving unprocessed information – particularly from such a wide variety of sources – is assessing the accuracy of the information and the reliability of sources. ASI's Operations & Security Team members collectively have in excess of 60 years of experience in processing, analysing and managing security related information. By rigorously cross-referencing incoming data, and then applying the principles of "What, So What, Now What?", the potential for reacting to inaccurate or irrelevant information is greatly reduced.

Information dissemination within ASI projects is always managed considering the "need to know" principle. While the importance of transparent communication is not forgotten, ASI projects and personnel are accustomed to receiving, producing and managing information that can be life-threateningly sensitive. It is in this understanding that information-sharing is managed and controlled so as to ensure personal, commercial and operational risks are minimised.

A suite of Emergency Response Plans (ERPs) is already established in Turkey/Jordan, and is reviewed bi-annually. These plans are tailored to each environment and cover critical concerns, including responses to a major security incident, a medical emergency and the abduction of ASI personnel, (among others). The specifics of these responses are necessarily confidential, however the overarching principle is the preservation of life. In each case, the Country Operations Manager establishes, and leads, an Emergency Response Team (ERT) that is the local focus of response in the affected location. Supported by the Senior Risk Advisor, Project Managers and members of the Operations Team as required, the Country Operations Manager directs the in-country activities that are necessary to react appropriately to any incident.

Should an event be sufficiently serious that it is beyond the capacity of the ERT to manage the response, a Crisis Management Team (CMT) is established at ASI headquarters to lend additional capacity and expertise. The role of this team is to oversee any incident and manage any external/international arrangements in order to preserve life and wellbeing of all employees, manage operational continuity, and provide compassionate care and support to casualties and their families. Core members of the CMT include the Global Head of Risk and Security, Head of Support Services (AfMENA) and the CEO, as well as any technical specialists as dictated by the circumstances and conditions of the case. In addition to the bi-annual review of the ERPs, the plans are exercised regularly – both in a training environment and also "live". As a consequence of the realities of working on Syria issues, ASI's ERPs for casualty response, and abduction response, in particular are well drilled and proven.

While the first principle of ASI's contingency planning is the preservation of life, the continuity of operations is a close second. The notion of "maintaining effective presence through risk management", as espoused by Jan Egeland and the humanitarian community, resonates throughout ASI's business continuity management processes, of which the Emergency Response Plans form a central component. It is not sufficient to simply shut up shop, in the face of adversity when there are important tasks to achieve, and so ASI makes use of a number of graduated and integrated approaches, including remote/limited access programme management and the mainstreaming of sound security risk management processes, into programme planning and delivery to ensure the ability to deliver in the most challenging of environments.

All staff are provided with a mobile phone, with adequate phone credit for the countries in which they are working, and are required to have their phones with them at all times. As such, the Operations & Security Team can easily contact staff in the case of an emergency. Staff are provided with an "in-case of emergency" (ICE) wallet sized card listing important local phone numbers plus the Adam Smith International 24/7 emergency hotline in London.

To replace the extant phone-tree/cascade systems that are already in effect in each duty station, ASI has invested in a "real time/live" security tracking software package for our staff in Jordan and Turkey that will allow real time check-in and tracking of staff. The app has several risk management tools including:

> SOS – Once activated it sends an SMS and email to the Global Head of Risk & Security, Head of AfMENA Operations and Country Operations Manager. It provides an exact GPS location of the handset in use, and cannot be switched off by the user once activated.
> Tracking – Uses the phone's GPS to emit regular signals identifying the user's location globally.
> Call Response Center – Automatically dials the ASI Corporate 24/7 Emergency Response Number.
> Check in – Allows the users to "check in" following an incident alerting the Country Operations Manager that he/she is safe. Additionally, allows users to check in and out when arriving/leaving a location or country.
> Recent Alert – Allows users to view the latest incident reports for Jordan.
> Emergency Contacts – Provides users with information on embassies and ASI contact information.

Moving to the application from a "manual" phone tree system will allow us to reduce the time it takes to account for all staff during an incident. During the last incident in Turkey we were able to account for over 300 staff and associates in 27 minutes and we believe the use of the app will further reduce the amount of time.

Syria

The Turkey/Jordan operations teams draw up a Personal Protection Plan (PPP) in Arabic for each field officer when they join the project.The PPP highlights the risks associated in working in their specific locations, and provides point-by-point guidelines on how to mitigate these risks. Field staff receive emergency funds, to be used to facilitate their emergency evacuation or relocation within the country, should the need arise.

The PPP covers risk and mitigation for ground attacks, kidnapping and arrest, artillery attacks and improvised explosive devices (IED). These plans and mitigations were developed in consultation with the Adam Smith International Head of Global Risk & Security.

Daily check-ins: On a day-to-day basis, field staff receive a phone call from the security team who are based in our 24/7 Security Management Office in Turkey. During these calls the Security Officer logs the field staff's location, any intended travel, and notes any security concerns that the Field Officer may have. The daily contact also furnishes ASI an opportunity to relay any pertinent information to the Field Staff, about emerging risk trends, or specific threats and attendant recommendations. Working from Gaziantep and Amman, the Sr. Risk Associate collates information from the field, and combines it with information gathered through his own networks to produce an ongoing analysis of the conflict, and objective evaluation of the threats that each community is facing. In this way, we have developed a system that enables us to maintain an up-to-date understanding of the conflict, and the impact that it may have upon the safety of the field staff on the ground.

Equipment: All field staff receive a complete package of equipment, including trauma kit, smart phone with internet access, satellite internet equipment/subscription and a portable generator. Field staff receive comprehensive first aid training specifically designed for conflict situations, and the project provides all field staff with a first aid kit.

Transferring money into Syria: In order to transfer money to Syria, the project makes use of local Hawalas. Hawalas operate on a cash basis, and as such the project offices in Gaziantep and Amman at times hold large sums of money. Those transferring cash in and out of the office always take the lowest sum possible, and take measures to prevent others from knowing that they are carrying funds (i.e. through carrying the money in a rucksack). Further to this, those carrying cash ensure that they travel to and from the Hawala office via different routes each time, to mitigate the risk that they are being followed.

The transfer of grants money from Turkey or Jordan into Syria carries with it considerable risks. With regards to the personal safety of the Financial Field Officers who receive the grants funds from the Hawala agents in Syria, the Financial Field Officers are in constant contact with the security team in Gaziantep to assess the situation on the ground, and to plan the transfer of money accordingly. The risks of carrying large sums of money are balanced against the risks of travelling through a warzone in order to pick the money up. The personal preference of the Financial Field Officers takes precedence when decisions are made as to how regularly to send funds, and the transfer of any money is dependent on them feeling safe enough for the transfer to go ahead.

Communications and project branding: We have developed specific communications and project branding guidelines for our work in hostile environments, including Syria. These guidelines help beneficiaries see the relevance of the project while protecting our implementing staff (Field Officers). Use of donor and corporate logos is not allowed: we have worked with all Syrian staff to design an Arabic logo for the project

Information security: Every effort has also been made to protect the Field Officers' identity online. All Field Officers have received training in IT security, to ensure that they follow the highest standards of IT security possible. Each Field Officer has been allocated an anonymous email address, so that the authorities are unable to track the user if the account is 'hacked'. Software has been installed on all devices that the Field Officers use to conduct their work (such as smart phones and laptops) to wipe all information should the devices go missing. The latest anti-virus software is installed on all devices.

Project staff in both Gaziantep and Amman are also responsible for the protection of the Field Officers' identities and whereabouts. A 'clear desk' policy has been implemented in both offices, meaning that any sensitive documents or papers are disposed of or stored away safely overnight. This is to prevent the spread of sensitive information if the offices were to be broken into. All sensitive project information is kept on encrypted hard drives or stored in secure, industrial level safes.

Vetting field workers, counterparts and suppliers: All Field Officers undergo vetting prior to joining the project. Names, dates of birth and photocopies of IDs are provided to the Security Officer who runs their names through all open source databases of sanctioned individuals and known terrorists. The Field Officers also provide the details of three referees, who the Security Officer contacts. The Security Officer then conducts online research into these individuals, making use of personal contacts that he may have in their vicinity and also using social media to verify their identity. If for any reason the Field Officer is flagged on one or more of these databases or reference lists and/or the Security Officer notices the connection to an extremist group or fraudulent activities, they will be deemed unsuitable to work with for the project. This

is essential since the Field Officers could not only channel programme funds to armed groups, but could also pose a risk to other project staff, particularly when visiting other locations and partaking in training workshops.

In addition to this, all members of the local committees with whom the project interacts, and all suppliers who provide material goods for the project are also vetted in the same way. This acts to safeguard the Field Officers against engaging with potentially harmful groups or individuals. Our vetting procedures will be carried out in parallel to any vetting carried out by HMG and other donor counterparts.

Crisis preparedness: An Emergency Response Plan (ERP) is in place for all staff in Turkey/Jordan as detailed above. ASI believes that our experience successfully managing projects in fragile and conflict states coupled with our Emergency Response Plans allows for the continuity of project management during a crisis.

All staff also attend Adam Smith International's in-house Hostile Environment Awareness Training (HEAT).

Managing a medivac emergency/incident

Turkey and Jordan

In addition to access to a high standard of available care in Gaziantep, Istanbul and Amman, all staff working in Turkey and Jordan are insured through the company "Ellis Clowes". This coverage, includes emergency medical evacuation as well as personal accident insurance, medical insurance provision (to the maximum value of £250,000) and life insurance. In the event of a serious illness or injury the Country Operations Manager will coordinate with insurance providers, medical facilities and the staff member's next of kin to ensure a smooth evacuation or repatriation. Working with ASI's insurance company and local medical providers the Country Operations Team successfully managed the medical evacuation of an associate to the United States earlier this year; in addition the Team has managed 3 additional medical evacuations across the region in the past 12 months. Full details are provided in ASI's Emergency Response Plans and Security Standard Operating Procedures (SSOPs).

Syria

All field staff working in Syria are provided with emergency medical insurance, to assist them in the case of a medical emergency. Although there are no cross-border ambulance services capable of medical evacuation, the PPP encourages all field staff to consider plans for where they could receive emergency medical treatment in the case of an emergency. In the most serious of cases, it has occasionally been possible to bring injured Syrians to Turkey for a higher level of treatment, but due to the exceptional nature of this course of action, primary consideration is given to treatment provision within Syria. In addition, all field staff attend a 1-day field first aid (trauma) course during their orientation. This combined with the trauma kit ensures they can attend to basic trauma incidents.

The strong relationship between ASI's Field Officers and the Security Team in Gaziantep is an important factor in preventatively managing risk and avoiding incident. By virtue of the frequent communication back and forth, between the field, and the support office, the Security Team is able to provide the Field Officers with the benefit of the near-real-time information that they are able to collate, pertaining to the prevailing and developing conditions across the areas of operations. By doing so, the Field Officers are better equipped to make an informed decision about avoiding areas of known increased risk. Of course, the Field Officers themselves are an important component of providing this level of information. The frequency of interaction between the two sides of the team lends itself to developing trust and thereby enables better delivery. The final decision as to whether it is safe to travel to a work location is always left in the hands of the Field Officer her or himself. However, if the Field Officer has confidence that the information s/he is receiving is timely, accurate and from a source that genuinely has their best interests at heart, s/he can feel more confident in making a well informed decision. Through the duration of ASI's history across Syria, when presence has at times numbered greater than 180 Field Officers, there has only been one incident in which a Field Officer has been killed.

As for Turkey and Jordan, Adam Smith International has developed a suite of Emergency Response Procedures (ERPs) for Syria, to manage incidents in the field as they arise. The ERPs include responses for the evacuation/relocation/hibernation, kidnapping or arrest, loss of contact, medical emergency and death of a Field Officer. These plans are reviewed with each Field Officer at the time of employment and during workshops throughout the year.

Below we outline the steps we would take in the case of "Loss of Contact with a Field Officer".

Field Officer misses his/her scheduled daily call/check-in the following procedure will take place.

1. **Security Team** – Will call, email and/or SMS the Field Officer every 15 minutes for one hour. The Security Team will notify the Country Operations Manager of a <u>possible</u> missing Field officer.

   After one hour if the Field Officer is still missing, the Security Team will call the Field Officer's emergency contacts (listed on the Field Officer's Personal Protection Plan), to ask if they know the whereabouts of the Field Officer. If the emergency contact(s) does not know the whereabouts, he or she will be asked to conduct a physical search for the missing Field Officer.

After two hours if no contact has been made, the Field Officer will be declared as missing.

2. **Syria Security Manager** – When the Field Officer is declared as missing, the Sr. Risk Associate will notify the Country Operations Manager and the Head of Support Services and members of the Emergency Response Team (ERT).

3. **Head of Support Services** – Will notify the Regional Director that a Field Officer is missing and support the Country Operations Manager/Sr. Risk Associate and ERT as needed.

4. **Head of Support Services** – Will notify the HQ Duty of Care Committee that a Field Officer is missing.

5. **The Regional Director will be the main point of contact between Adam Smith International and the donor.**

6. **Emergency Response Team** – Will coordinate efforts with other Field Officers and the missing Field Officer's community, in order to locate the missing Field Officer.

ASI has retained the services of professional trauma counsellors and has trained both senior staff members and associates, who have daily contact with the field staff, in Trauma Risk Management (TRiM). Support sessions are confidential and can be held in person or via telephone or Skype. Counselling helps staff and associates develop self-care strategies, cope with stress and trauma and address circumstances that affect work and relationships with colleagues.

ASI believes that the level of Duty of Care provision for those personnel most at risk, within Syria, is as much as can be done in such a challenging, remote-management environment. That being said, the company strives to improve the level of support provided and, as conditions change or as technological advances present opportunities to do more, ASI continues to develop the means to better care for its most important asset – its people. The company firmly believes that ASI goes further in Duty of Care than our competitors.

Keeping the FCO apprised of changes in risk levels

As a function of ASI's existing projects in Turkey and Jordan, the Syria Security Manager and the Country Operations Manager have existing, positive, working relationships with the FCO's Overseas Security Manager (OSM). Information on threats and incidents is regularly exchanged and it is expected that this relationship would continue.

Further to this ad hoc exchange of information, it is recommended that ASI's personnel meet, at an agreed frequency, with the Overseas Security Manager to formally present an update to the OSM/Embassy on threats in the area of operations, that might affect the project or ASI's personnel. Additionally, as part of ASI's regular package of returns and reports to FCO, a monthly risk matrix/assessment will be developed, summarising the prevailing circumstances and conditions, and highlighting any changes to risk levels, project impacts and their attendant changes to our risk posture. In doing so, it is hoped that a mutually beneficial openness can be fostered which allows planning and decision-making to be done in such a way that each party is best informed and unexpected decisions are minimised.

The Team Leader will oversee AJACS monitoring and management risks using a risk matrix that will be regularly updated as new risks emerge. The matrix will be reviewed with the FCO during fortnightly meetings, and will specify the risk, risk type, risk probability, risk impact, the composite risk index, the response and the risk owner. It will determine whether to treat, tolerate, terminate, transfer or escalate the risk faced:

› **Treat** – to mitigate a risk to reduce either its probability of occurring or its impact.
› **Tolerate** – to accept a risk as is because we don't have the means or levers to treat it or because it is not cost-effective to do so.
› **Terminate** – where a risk is too high it may be appropriate to stop the activity to terminate the risk. This should only happen if it is not possible to transfer that risk to a party that does have the means to treat it.
› **Transfer** – allocating a risk to another organisation or management level for them to own and manage because we don't have the levers, means or resources to treat it but another party does.
› **Escalate** – this is not transferring a risk but rather having to seek a decision from another management level to get approval to treat, tolerate or terminate a risk.

In addition, we will maintain a log of issues and decisions, dealing with problems the project faces, including: the issue, the action, the owner, and the date opened/closed. Finally, to build upon risk management experience in this unique context, we will maintain a lessons learnt sheet to ensure the programme adapts to changes.